



Fact Sheet

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Grant Monitoring and Compliance

THE PURPOSE OF MONITORING IS TO

ENSURE THAT GRANTEES MEET THEIR

PROGRAMMATIC AND FINANCIAL

REQUIREMENTS. THIS WILL RESULT IN

THE ACHIEVEMENT OF THE GRANTEES'

GOALS, AND THE SUCCESSFUL

IMPLEMENTATION OF THE COPS

PROGRAM.

Federal law requires that law enforcement agencies granted financial assistance from the COPS Office be monitored to ensure compliance with their grant conditions and other applicable statutory regulations. The COPS Office is also interested in tracking the progress of our programs and the advancement of community policing. Both aspects of grant implementation – compliance and programmatic benefits – are part of the monitoring process coordinated by the U.S. Department of Justice.

Grant monitoring activities conducted by the COPS Office include COPS Count, site visits, office-based grant reviews, alleged noncompliance reviews, and audit resolution.

COPS Count

COPS Count is a survey of grantees conducted to assess progress with the hiring and redeploying of community policing officers. During the survey, recipients of MORE and Hiring grants are asked for information regarding the status of their grants. Key questions center around: the number of officers and civilians hired, anticipated and actual hiring dates, and dates technology and equipment have been, or will be, purchased. Grantees receive advance notification of the dates of the COPS Count by fax or mail. Grantees may respond by completing a faxed form, answering survey questions on the phone with an operator, or, new in FY 2002, by completing an Internet survey.

Site Visits

The COPS Office conducts site visits to grantees to ensure compliance with grant terms and conditions. These visits also provide first-hand observation of the grantee's community policing strategies.

Promising practices identified during site visits are documented and may be shared with the law enforcement community. Technical assistance and follow up are conducted to address potential and actual vulnerabilities.

Office-Based Grant Reviews

Office-based grant reviews (OBGRs) provide the COPS Office an opportunity to review a greater population of grantees without a visit. OBGRs consist of an internal review of grant documentation. Often this work is supplemented by direct contact with the grantee and the collection of additional supporting documentation to demonstrate the agency's compliance with grant requirements.

Alleged Noncompliance Reviews

An alleged noncompliance review (ANCR) is a follow-up on alleged noncompliance received from external (media and/or citizen complaints) or internal (COPS) sources. On a case-by-case basis, COPS determines the appropriate course of action to resolve the issues. This may include phone or letter contact, or a site visit by COPS or the Office of the Inspector General (OIG).

Reporting

Grantees are required to submit program progress reports and financial status reports to the COPS Office on a periodic basis. These reports serve as survey instruments through which COPS monitors compliance with grant terms and conditions. Progress reports capture grant activity over a specified period of time including, but not limited to, officers/civilians hired, equipment/technology purchased, and community policing activities. Financial status reports capture Federal and local

Contact Information

If you believe that a grantee is not complying with grant requirements, you may contact the COPS Monitoring and Compliance Division (MCD) ANCR Desk at:

Address:

U.S. Department of Justice
COPS Office
Monitoring and Compliance
Division

Attn: ANCR Desk
1100 Vermont Avenue, N.W.
Washington, D.C. 20530

Phone:

(202) 514-9202

expenditures and unobligated award balances for a specific period of time.

Audit Resolution

In addition to monitoring activities conducted by the COPS Office, a grant may be subject to an audit by independent examiners. The two primary types of audits are conducted through the Single Audit Act (SAA) or the Department of Justice (DOJ), Office of Inspector General (OIG). The primary objective of an audit is to determine compliance with the programmatic, financial, and reporting requirements associated with a COPS grant. COPS serves as the liaison between grantees and auditors in the conduct and resolution of OIG audits. The Department of Justice, Office of Justice Programs (OJP) serves as the liaison between grantees and auditors in the conduct and resolution of SAA audits.

Compliance Areas

Site visits, office-based grant reviews, and audits generally focus on seven areas as noted below:

1. **Retention:** The COPS Office will monitor retention for *one full local budget cycle after the conclusion of the grant funding period*. Hiring grants are funded for 36 months for each officer position. The retention period for each officer position starts at the end of the 36-month funding period.
2. **Nonsupplanting:** COPS grants must be used to supplement, not substitute, local or state funding that otherwise would have been spent on law enforcement purposes. COPS officer and civilian positions must be *in addition to* any locally funded positions, and COPS technology must be *in addition to* any locally budgeted equipment or technology expenditures.
3. **Reporting:** Grantees must submit the required programmatic and financial reports by the scheduled deadline(s).
4. **Allowable Costs:** Grant expenditures must occur during the grant period and in accordance with the Financial Clearance Memorandum.
5. **Source of Matching Funds:** In most cases, police agencies must contribute funds toward the grant program unless a waiver is obtained from the COPS Office. Generally, these funds cannot come from

federal sources or monies previously budgeted for law enforcement purposes.

6. **Redeployment:** Through a tracking plan, MORE grantees must demonstrate that the timesaving achieved through grant-funded technology and civilians has allowed them to deploy officers into community policing activities.
7. **Community Policing Activities:** Agencies are expected to implement or enhance community policing strategies illustrating community partnerships, problem solving and organizational commitment.

Tips

The following tips are designed to assist in complying with the program and financial requirements associated with the administration of your grant. If you have questions concerning these tips, contact your COPS grant program specialist.

- Implement your community policing strategy as reported on your community policing information worksheet.
- Maintain supporting documentation for all reimbursement requests.
- Request changes to your grant(s) in writing and ask for a written response from the COPS Office for your records.
- Submit all program and financial reports accurately and on time.
- Request federal fund reimbursements only for allowable grant costs based on actual expenditures, rather than budgeted or estimated costs.
- Document the source and amount of your local matching funds.
- Prepare a *retention plan* for all COPS-funded sworn officers and MORE civilians.
- Prepare a *redeployment tracking plan* for all MORE grants as soon as possible.
- Hire COPS-funded sworn officers and civilians and purchase equipment and technology *after* the award start date.
- Increase the baseline of locally funded sworn officers and locally funded civilians by the number of officers/civilians awarded in your grant(s). Fill locally funded vacancies in a proactive manner.
- If you're a COPS in Schools grantee, attend the COPS-sponsored School Resource Officer training in the early stage of your grant period, preferably with your school administrator partner.